



Public Schools of North Carolina

The Monitoring Process for Federal Programs 2015-2016

Federal Program Monitoring
NC Department of Public Instruction

New Title I Directors Institute July 16, 2015

Federal Program Monitoring and Support Division

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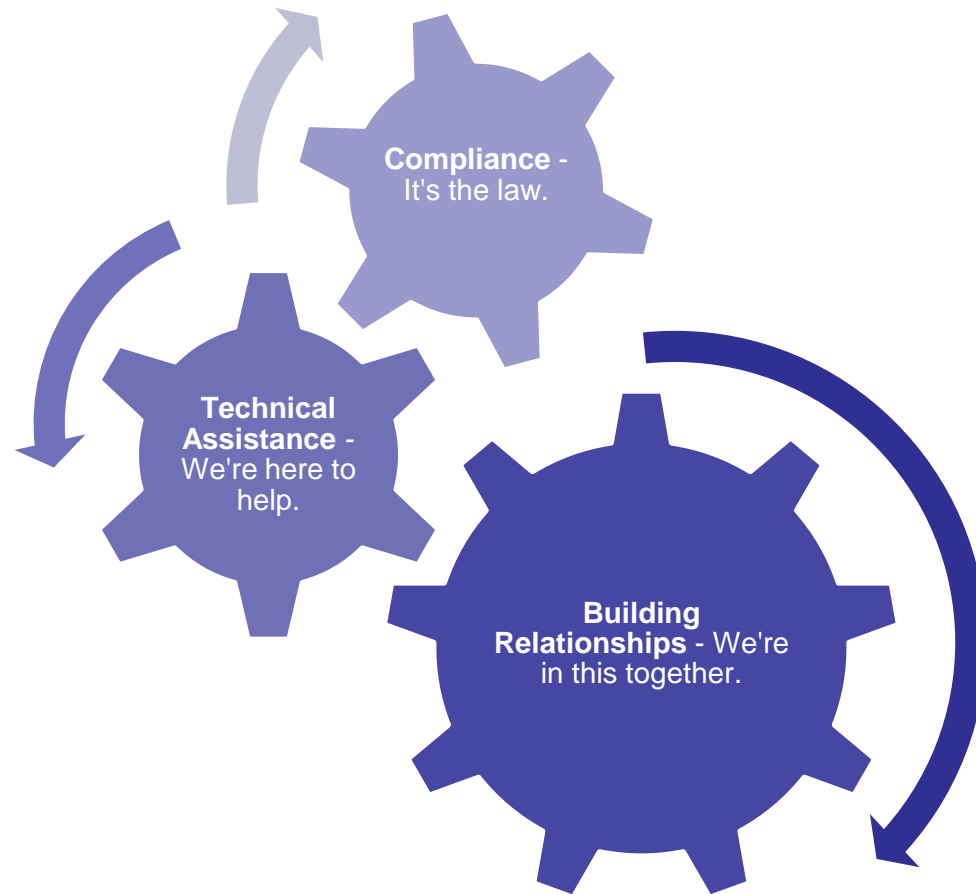


Why does the SEA monitor LEA federal programs?

- The State Educational Agency (SEA) is required by federal statutes to maintain oversight regarding the use of federal funds.
- The SEA must ensure that districts and schools implement programs that continuously improve in quality from year to year.



Why does the SEA monitor LEA federal programs?



Does the U.S. Department of Education (USED) Monitor States?



- USED has monitored North Carolina in 2005, 2008, 2009 and October of 2013.
- The U.S. Government of Accountability Office (GAO) visited NC during 2010-11 SY and
- 2011-12 SY to review American Recovery and Reinvestment Act funds.
- The USED monitored the NC DPI regarding the flexibility waiver in 2012-13 SY.



How often will the Federal Program Monitoring and Support Division monitor the LEAs and charters?

Historically, in the 2013-14 school year, the monitoring cycle started a new *four*-year cycle. Note, additional monitoring may occur as needed during the four year period.

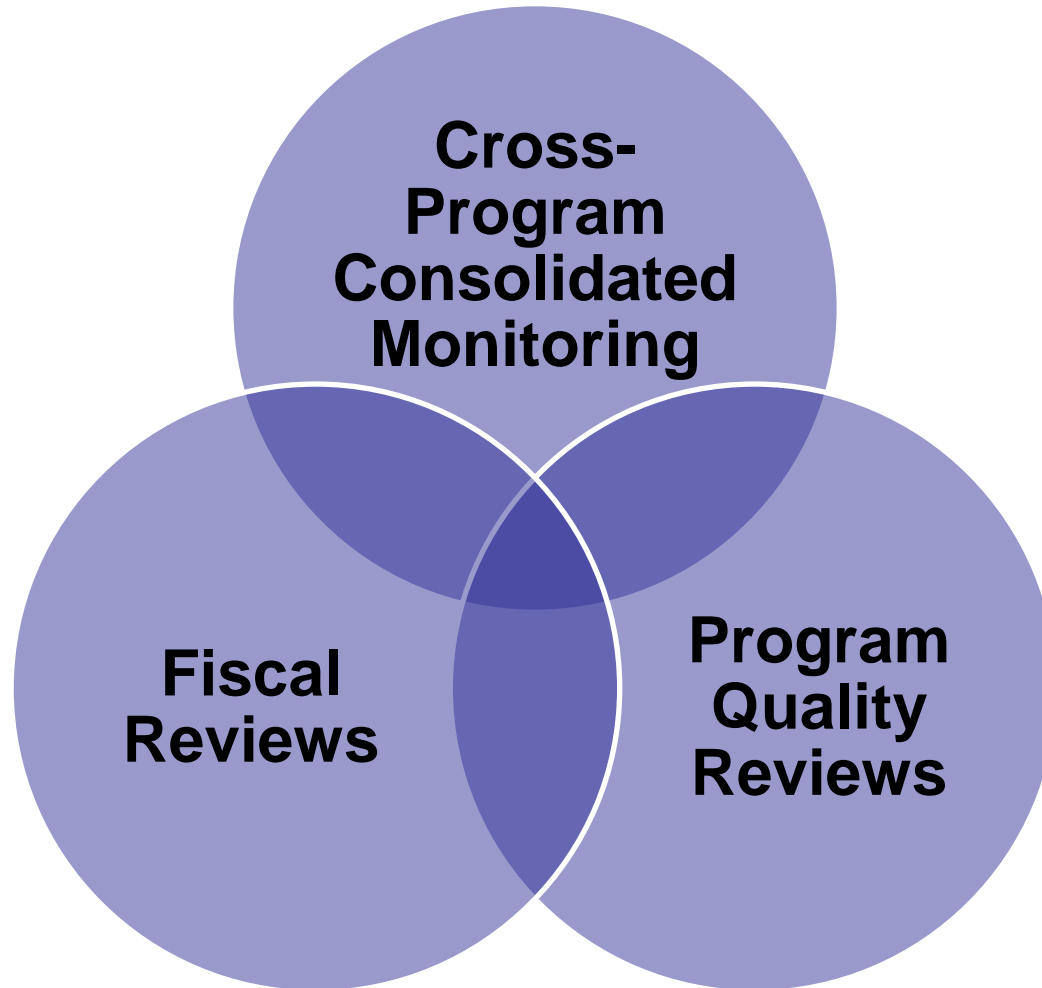


How does the State select programs to monitor?

- Amount of funding
- Number of years since last formal monitoring
- Size of program (funding, schools, participants)
- Staffing
- Previous findings
- Identified Focus/Priority schools
- Percent of annual measurable objectives (AMO) targets met
- Indicators based on Title I program quality reviews



How are programs monitored?



How are programs monitored?

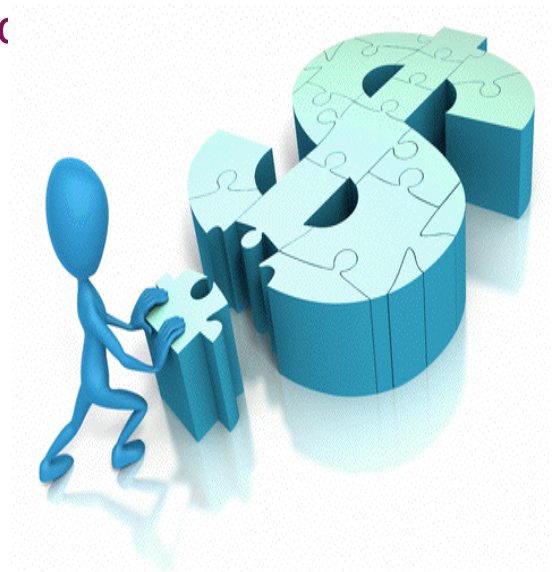
- Cross-Program Consolidated Monitoring (CPCM)
 - Annually based on a risk assessment
 - On-site reviews
 - Desk reviews (piloted in 2013-14 SY)
- Program Quality Reviews (PQRs)
 - On-site as needed
 - On-site as requested
- Fiscal Reviews
 - Annually based on CPCM schedule and other risk assessment factors



What are Fiscal Reviews?

Fiscal reviews are conducted in multiple federal Program Report Codes (PRCs)
(conducted done by Monitoring and Compliance Section / Financial Business Services):

- 013, 117 – Career and Technical Education
- 035 – Child Nutrition
- 044 – IDEA VI B
- 049 – IDEA Title VI, B, Preschool Handicapped
- 050 – Title I, Part A
- 060 – IDEA Title VI, B, Handicapped
- 091 – SRSA Rural Education Achievement
- 103 – Title II, Part A
- 104, 111 – Title III, Language Acquisition
- 105 – Title I School Improvement (SIG)
- 109 – RLIS
- 114 – Children with Disabilities, Risk Pool
- 119 – IDEA, Targeted Assistance for Preschool
- 140, 141, 144, - ARRA funding
- 155 – Education Jobs Funds



What are Program Quality Reviews?

The Program Quality Review (PQR) process provides opportunities for conducting monitoring that focuses on a specific program or program component:

- Focus Schools
- Schoolwide Programs
- Targeted Assistance Programs
- Pre-K Programs
- Migrant Education Programs
- Participation of Private Schools
- Parental Involvement
- Improving Teacher Quality



What are Program Quality Reviews?

- Has a less formal schedule
- Provides point-in-time review
- Focuses on specific program aspect
- Provides feedback as recommendations/commendations
- Serves as starting point for technical assistance to support high-quality implementation



What is Cross-Program Consolidated Monitoring?

Cross-Program Consolidated Monitoring (CPCM) includes multiple federal programs reviewed across common compliance strands:

- Title I Part A (including Title I preschool)
- Title II Part A
- Migrant Education
- Neglected & Delinquent Programs
- Rural Education Programs (RLIS, SRSA)
- Homeless Education Programs



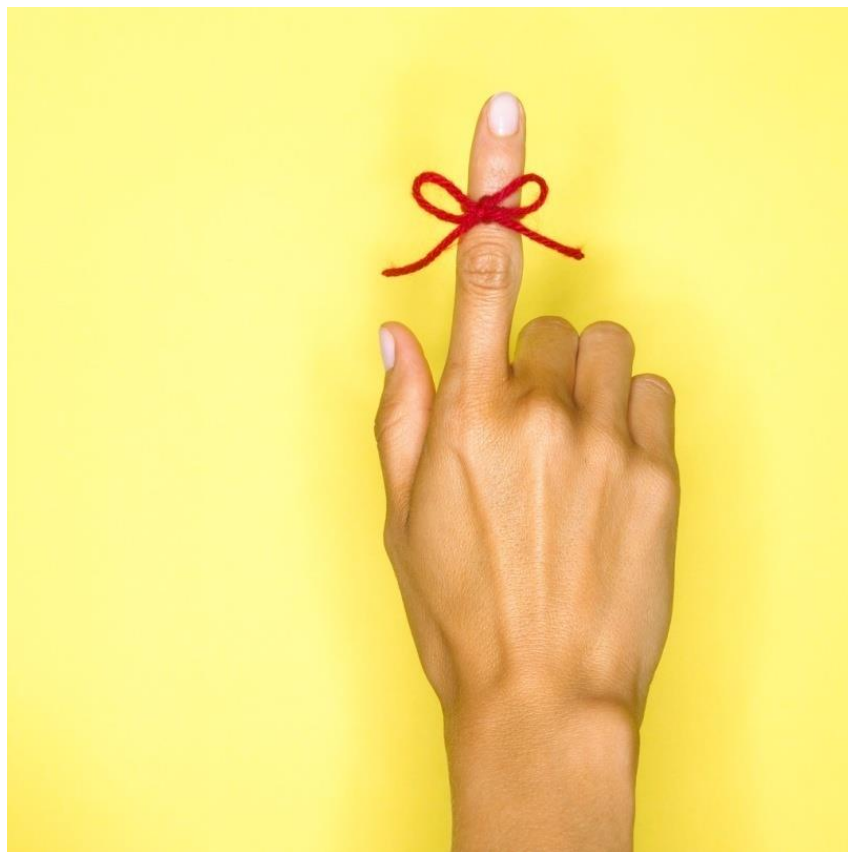
What evidences of compliance does the SEA review within each school year for all LEAs/Charters?



- Application review and approvals
- Budget /amendment review and approvals
- Other: reports, evaluations, data bases, phone/email correspondence, assessments, agendas/minutes/sign-in sheets



Keep in mind...



Compliance
leads to
program
quality!



What is communicated from NCDPI Program Monitoring to LEA or Charter?

- LEA Superintendent or Charter School Principal/Director will receive a letter from Division Director notifying system of upcoming monitoring.
- Title I/II Director or Charter School Principal and DPI Program Administrator are the primary contacts/responsible for developing the schedule and identifying necessary documentation needed prior to the review.



What is the Process for On-Site Monitoring?

- **Opening Meeting:**
 - Brief meeting with appropriate LEA staff to review process and schedule
- **Documentation Review:**
 - Web Based or Paper Files

When possible, please organize files in the order of the monitoring instrument (Example: Strand I is Stakeholder Involvement and Indicator 1 is “district consults with parents...planning, implementation & evaluation of Title I parent involvement policy” LEA “Evidences which supports parent consultation & involvement in planning with roster of planning team including parent advisory council; schedule of activities; agendas with sign-in sheets & minutes of meetings)
- **Interviews:**
 - Title I Director; Title II A Coordinator (Central Office Staff)
 - School Teams (Decision-Making, SIP, or Leadership)



What is the Process for On-Site Monitoring?



- **Interviews (continued):**
 - Group of Parents (diverse perspectives and grade levels)
 - Other Program Coordinators: PreK, Homeless, Focus, N&D, or Migrant
- **Closing Meeting:**
 - Brief meeting with appropriate LEA staff to share preliminary findings and timeline for next steps



What is the process for conducting a desk review?



- **Documentation Review:**
 - Files organized in the order of the monitoring instrument
 - Web-based files submitted in advance of the conference call
- **Conference Call Interviews:**
 - Title I/II Director
 - Other Program Coordinators: PreK, Homeless, Focus Schools, N&D, Migrant
- **Closing Conference Call:**
 - Conference call conducted with appropriate LEA staff to share preliminary findings and timeline for next steps



How are indicators rated for compliance?

Rating Scale Rubric			
Meets Requirements	Finding(s)	Action(s) Needed	NA- Not Applicable
<ul style="list-style-type: none"> • Compliance indicator is 100% met and supported by all required evidence(s). • All Required documents are provided and support compliance. • Interviews support documentation, processes, and implementation. • Compliance is consistent at district and schools sampled. 	<ul style="list-style-type: none"> • Evidence or lack of evidence show compliance indicator has not been met. • Incomplete or lack of required documentation. • Interviews lack understanding or support of documentation, processes, and implementation. • Compliance is inconsistent at district and schools sampled. 	<ul style="list-style-type: none"> • Action(s) will address each finding. The LEA will respond to each finding with evidence of resolution. 	<ul style="list-style-type: none"> • The District is not eligible for the program. • Accountability standard is not applicable. • Program not elected (i.e., pre-school, private school participation).



What is the schedule for an on-site monitoring visit?

The schedule is developed for each LEA and charter schools based three key factors:

1. The number of federal grants the district or charter school receives (e.g., Title I, Title II, Migrant, etc.)
2. The types of programs offered with the federal funds (e.g., PreK, TAS, private schools, etc.)
3. The size of the school/local school district (e.g., number of Title I schools served, number of staff, etc.)



What is the schedule for the desk review?

Desk reviews will be conducted in one of two ways:

1. Web-based documentation review prior to the on-site review
2. Web-based documentation reviewed prior to conference call interviews (i.e., in lieu of an on-site review)



In general, the monitoring team is seeking substantial evidence that the program is conducted as approved and aligned with statutory requirements.

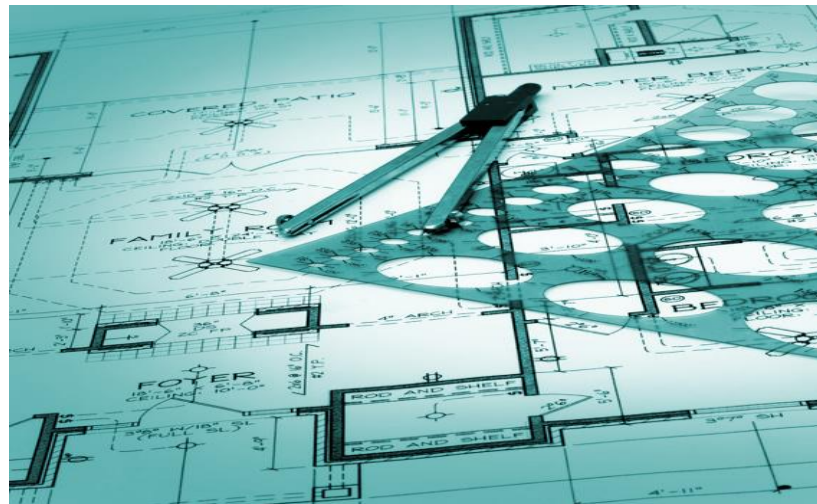


Most importantly,
the team is
looking for ways
to support high-
quality programs.



What is considered “substantial?”

- Comprehensive
- Thorough
- Clear and detailed



What is included in the written feedback for an on-site review?

Notes/Comments (Findings):

- What is observed (procedures)
- What is reviewed (documents)
- What is stated (interviews)
- Why sufficient/insufficient for compliance (conclusion)

Final Report for Required Action(s):

- What is expected to provide sufficient evidence (e.g., develop and submit a plan)
- What is reasonable for the timeline
- Why this is required (i.e., statutory reference)



What is included in the written feedback for a desk review?

Notes/Comments (Findings):

- What is observed (procedures)
- What is reviewed (documents)
- What is stated (interviews)
- Why insufficient for compliance (conclusion)

Final report Required Action(s):

- What is expected to provide sufficient evidence (e.g., develop and submit)
- What is reasonable for the timeline
- Why this is required (i.e., statutory reference)



What is included in the written feedback for the PQR?

1. Notes/Comments

- What is observed (procedures)
- What is reviewed (documents)
- What is stated (interviews)

2. Commendations

3. Concerns

4. Recommendations



Important Monitoring Websites

- NC Dept. of Public Instruction:
<http://www.ncpublicschools.org/>
- NCDPI Program Monitoring and Support Division:
<http://www.ncpublicschools.org/program-monitoring/>
- NCDPI PM Section Monitoring Resources:
<http://www.ncpublicschools.org/program-monitoring/monitoring/>



U.S. Department of Education Resources

- US Department of Education Website:
<http://www.ed.gov>
- Elementary and Secondary Education Act:
<http://www.ed.gov/policy/elsec/leg/esea02/index.html>



Fiscal Resources

- Federal Information
<http://www.ncpublicschools.org/fbs/federal.html>
- Education Department General Administrative Regulations (EDGAR)
- OMB Circulars (A-87, A-133, etc.)
- DPI Federal Program Administrators



